



RECEIVED
FEB 14 2003
GROUP 3600

INFORMATION DISCLOSURE CITATION IN AN APPLICATION				Docket Number		Application Number	
				23449-013		09/893,460 4 2003	
				Applicant(s)			
				Joseph G. GATTO			
Form PTO-1449				Filing Date		Group Art Unit	
				June 29, 2001		3624	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO
	1A	2000090150A	03/31/2000	JAPAN			
	1B	WO 01/80124 A2	10/25/2001	International			
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
	1C	BROWN <i>et al.</i> , "Composite Analyst Earnings Forecasts: The Next Generation", <i>Journal of Business Forecasting</i> , Summer 1990, Vol. 9, Issue 2.					
	1D	HO <i>et al.</i> , "Market Reactions to Messages from Brokerage Ratings Systems", <i>Financial Analysts Journal</i> , February 1998, Vol. 54, Issue 1.					
	1E	LAMONICA, "The Best and Worst: Bloomberg's Second Annual Analysts Survey, and the Top Analysts Top Picks", <i>Financial World</i> , 30 January 1996, Vol. 165, Issue 2.					
	1F	http://interactive.wsj.com/public/current/summaries/best00.htm (1/5/01)					
	1G	http://interactive.wsj.com/public/current/articles/SB963945297966625438.htm (1/5/01)					
	1H	http://interactive.wsj.com/public/current/articles/SB963945742428537569.htm (1/5/01)					
	1I	http://interactive.wsj.com/public/current/articles/SB963945478117361937.htm (1/5/01)					
	1J	http://interactive.wsj.com/public/current/articles/SB963944657420928118.htm (1/5/01)					
	1K	http://interactive.wsj.com/public/current/articles/SB963945615772798263.htm (1/5/01)					
	1L	HERZBERG <i>et al.</i> , "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <i>The Journal of Investing</i> , Summer 1999.					
	1M	Charles Schwab: Schwab Introduces Analytics Funds; Utilizes Quantitative Techniques to Seek Above-Market Returns.					
	1N	MOZES <i>et al.</i> , "Modeling Earnings Expectations Based on Clusters of Analyst Forecasts", <i>The Journal of Investing</i> , Spring 1999.					
	1O	https://www.investars.com/home.asp , printed 3/26/01, 5 pages.					
	1P	"I/B/E/S Active Express", I/B/E/S International Inc., 1999, 2 pages.					
	1Q	Lawrence D. BROWN <i>et al.</i> , "The Superiority of Analyst Forecasts as Measures of Expectations: Evidence from Earnings", <i>The Journal of Finance</i> , Vol. XXXIII, No. 1, March 1978, pages 1-16.					
	1R	Lawrence D. BROWN <i>et al.</i> , "The Predictive Value of Interim Reports for Improving Forecasts of Future Quarterly Earnings", <i>The Accounting Review</i> , Vol. LIV, No. 3, July 1979, pages 585-591.					
	1S	Lawrence D. BROWN, "Analyst Forecasting Errors and Their Implications for Security Analysis: An Alternative Perspective", <i>Financial Analysts Journal</i> , January-February 1996, pages 40-47.					
	1T	Lawrence D. BROWN <i>et al.</i> , "Analysts can Forecast Accurately!", <i>The Journal of Portfolio Management</i> , Spring 1980, pages 31-34.					
	1U	L. D. BROWN <i>et al.</i> , "Perspectives on Forecasting Research in Accounting and Finance", <i>Journal of Forecasting</i> , Vol. 2, 1983, pages 325-330.					

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /N.S./



INFORMATION DISCLOSURE CITATION IN AN APPLICATION		Docket Number	Application Number				
		23449-013	09/893,460				
		Applicant(s)					
		Joseph G. GATTO					
		Filing Date	Group Art Unit				
		June 29, 2001	3624				
Form PTO-1449							
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
FOREIGN PATENT DOCUMENTS							
	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
2A		Robert E. HOSKIN <i>et al.</i> , "Evidence on the Incremental Information Content of Additional Firm Disclosures Made Concurrently with Earnings," <i>Journal of Accounting Research</i> , Vol. 24 Supplement 1986, pages 1-32.					
2B		Lawrence D. BROWN, "Earnings Surprise Research: Synthesis and Perspectives," <i>Financial Analysts Journal</i> , March/April 1997, pages 13-19.					
2C		Charles M. C. LEE <i>et al.</i> , "What is the Intrinsic Value of the Dow?", <i>The Journal of Finance</i> , Vol. LIV, No. 5, October 1999, pages 1693-1741.					
2D		Charles M. C. LEE, "Market Integration and Price Execution for NYSE-Listed Securities," <i>The Journal of Finance</i> , Vol. XLVIII, No. 3, July 1993, pages 1009-1038.					
2E		Charles M. C. LEE <i>et al.</i> , "Volume, Volatility, and New York Stock Exchange Trading Halts," <i>The Journal of Finance</i> , Vol. XLIX, No. 1, March 1994, pages 183-214.					
2F		Navin CHOPRA <i>et al.</i> , "Summing Up," <i>The Journal of Finance</i> , Vol. XLVIII, No. 2, June 1993, pages 811-812.					
2G		Navin CHOPRA <i>et al.</i> , "Yes, Discounts on Closed-End Funds are a Sentiment Index," <i>The Journal of Finance</i> , Vol. XLVIII, No. 2, June 1993, pages 801-808.					
2H		Charles M. C. LEE <i>et al.</i> , "Spreads, Depths, and the Impact of Earnings Information: An Intraday Analysis," <i>The Review of Financial Studies</i> , Vol. 6, No. 2, 1993, pages 345-374.					
2I		Sati P. BANDYOPADHYAY <i>et al.</i> , "Analysts' Use of Earnings Forecasts in Predicting Stock Returns: Forecast Horizon Effects," <i>International Journal of Forecasting</i> , Vol. 11, No. 3, 1995, pages 429-445.					
2J		Lawrence D. BROWN, "Influential Accounting Articles, Individuals, Ph.D. Granting Institutions and Faculties: A Citational Analysis," <i>Accounting, Organizations and Society</i> , Vol. 21, No. 7/8, October/November 1996, pages 723-754.					
2K		Lawrence D. BROWN <i>et al.</i> , "Security Analyst Superiority Relative to Univariate Time-Series Models in Forecasting Quarterly Earnings," <i>Journal of Accounting and Economics</i> , Vol. 9, 1987, pages 61-87.					
2L		Lawrence D. BROWN <i>et al.</i> , "An Evaluation of Alternative Proxies for the Market's Assessment of Unexpected Earnings," <i>Journal of Accounting and Economics</i> , Vol. 9, 1987, pages 159-193.					
2M		Lawrence D. BROWN <i>et al.</i> , "The Impact of Annual Earnings Announcements on Convergence of Beliefs," <i>The Accounting Review</i> , Vol. 67, No. 4, October 1992, pages 862-875.					

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /N.S./

RECEIVED
FEB 14 2003
GROUP 3600



INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	23449-013	09/899,460
	Applicant(s)	
	Joseph G. GATTI	GROUP 3600
	Filing Date	Group Art Unit
	June 29, 2001	3624

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

3A	Lawrence D. BROWN, "Analyst Forecasting Errors: Additional Evidence", <u>Financial Analysts Journal</u> , November/December 1997, pages 81-88.
3B	Praveen SINHA et al., "A Re-Examination of Financial Analysts Differential Earnings Forecast Accuracy", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 1, Spring 1997, pages 1-42.
3C	Leonard C. SOFFER et al., "Post-Earnings Announcement Drift and the Dissemination of Predictable Information", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 305-331.
3D	Jacob K. THOMAS, "Discussion of 'Post-Earnings Announcement Drift and the Dissemination of Predictable Information', <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 333-340.
3E	Lawrence D. BROWN, "Comment on 'Post-Earnings Announcement Drift and the Dissemination of Predictable Information'", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 16, No. 2, Summer 1999, pages 341-345.
3F	Lawrence D. BROWN et al., "Univariate Time-Series Models of Quarterly Accounting Earnings per Share: A Proposed Model", <u>Journal of Accounting Research</u> , Vol. 17, No. 1, Spring 1979, pages 179-189.
3G	Lawrence D. BROWN, "Earnings Forecasting Research: Its Implications for Capital Markets Research", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 295-320.
3H	J. O'HANLON, "Commentary on: Lawrence D. Brown 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 321-323.
3I	Jacob K. THOMAS, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 325-330.
3J	Philip BROWN, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 331-335.
3K	Mark E. ZMIJEWSKI, "Comments on 'Earnings Forecasting Research: Its Implications for Capital Markets Research' by L. Brown", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 337-342.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /N.S./

**INFORMATION DISCLOSURE CITATION
IN AN APPLICATION**

Form PTO-1449

Docket Number	Application Number
23449-013	098693486
Applicant(s)	
Joseph G. GATTO	
Filing Date	Group Part Unit
June 29, 2001	3624

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

4A	Lawrence D. BROWN, "Reply to Commentaries on 'Earnings Forecasting Research: Its Implications for Capital Markets Research'", <u>International Journal of Forecasting</u> , Vol. 9, 1993, pages 343-344
4B	Lawrence D. BROWN, "A Test of the Reliability of Current Cost Disclosures", <u>ABACUS - A Journal of Accounting, Finance and Business Studies</u> , Vol. 30, No. 1, March 1994, pages 2-17.
4C	Lawrence D. BROWN, "The Impact of Announcement Timing on the Informativeness of Earnings and Dividends", <u>Journal of Accounting, Auditing & Finance</u> , Vol. 9, No. 4, Fall 1994, pages 653-674.
4D	Lawrence D. BROWN <i>et al.</i> , "The Familiarity with and Perceived Quality of Accounting Journals: Views of Senior Accounting Faculty in Leading U.S. MBA Programs", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 11, No. 1-1, Summer 1994, pages 223-250.
4E	Adrian P. FITZSIMONS, <i>et al.</i> , "Harmonizing GAAP Differences Among the NAFTA Countries", <u>The CPA Journal</u> , May 1995, pages 43-44.
4F	Lawrence D. BROWN, "Book Review of M. Metcalfe's 1995 <i>Forecasting Profit</i> ", <u>International Journal of Forecasting</u> , Vol. 12, No. 1, 1996, pages 176-177.
4G	Lawrence D. BROWN <i>et al.</i> , "An Information Interpretation of Financial Analyst Superiority in Forecasting Earnings", <u>Journal of Accounting Review</u> , Vol. 25, No. 1, Spring 1997, pages 49-67.
4H	Lawrence D. BROWN, "Forecast Selection When All Forecasts are not Equally Recent", <u>International Journal of Forecasting</u> , Vol. 7, No. 3, 1991, pages 349-356.
4I	Lawrence D. BROWN <i>et al.</i> , "Capsules and Comments", <u>Journal of Accounting Research</u> , Vol. 29, No. 2, Autumn 1991, pages 382-385.
4J	Lawrence D. BROWN <i>et al.</i> , "Applying Citation Analysis to Evaluate the Research Contributions of Accounting Faculty and Doctoral Programs", <u>The Accounting Review</u> , Vol. LX, No. 2, April 1985, pages 262-277.
4K	Lawrence D. BROWN, "Can ESP Yield Abnormal Returns?", <u>The Journal of Portfolio Management</u> , Vol. 23, No. 4, Summer 1997, pages 36-43.
4L	Lawrence D. BROWN <i>et al.</i> , "Do Stock Prices Fully Reflect the Implications of Current Earnings for Future Earnings for AR/ Firms?", <u>Journal of Accounting Research</u> , Vol. 38, No. 1, Spring 2000, pages 149-164.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /N.S./



INFORMATION DISCLOSURE CITATION IN AN APPLICATION	Docket Number	Application Number
	23449-013	09/893,460
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Revised Applicant
Form PTO-1449	June 29, 2001	3624

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

5A	Lawrence D. BROWN <i>et al.</i> , "The Association Between Nonearnings Disclosures by Small Firms and Positive Abnormal Returns", <u>The Accounting Review</u> , Vol. 68, No. 3, July 1993, pages 668-680.
5B	Lawrence D. BROWN <i>et al.</i> , "Adaptive Expectations, Time-Series Models, and Analysis Forecast Revision", <u>Journal of Accounting Research</u> , Vol. 17, No. 2, Autumn 1979, pages 341-351.
5C	Lawrence D. BROWN <i>et al.</i> , "Does the FASB Listen to Corporations?", <u>Journal of Business Finance & Accounting</u> , Vol. 19, No. 5, September 1992, pages 715-731.
5D	Lawrence D. BROWN <i>et al.</i> , "Using Citation Analysis to Assess the Impact of Journals and Articles on Contemporary Accounting Research (CAR)", <u>Journal of Accounting Research</u> , Vol. 23, No. 1, Spring 1985, pages 84-109.
5E	Kaushik I. AMIN <i>et al.</i> , "Option Trading, Price Discovery, and Earnings News Dissemination", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 14, No. 2, Summer 1997, pages 153-192.
5F	Charles M. C. LEE <i>et al.</i> , "Investor Sentiment and the Closed-End Fund Puzzle", <u>The Journal of Finance</u> , Vol. XLVI, No. 1, March 1991, pages 75-109.
5G	Carolyn M. CALLAHAN <i>et al.</i> , "Accounting Information and Bid-Ask Spreads", <u>Accounting Horizons</u> , Vol. 11, No. 4, December 1997, pages 50-60.
5H	Charles M. C. LEE, "Accounting-Based Valuation: Impact on Business Practices and Research", <u>Accounting Horizons</u> , Vol. 13, No. 4, December 1999, pages 413-425.
5I	Richard FRANKEL <i>et al.</i> , "Accounting Valuation, Market Expectation, and Cross-Sectional Stock Returns", <u>Journal of Accounting and Economics</u> , Vol. 25, No. 3, June 1998, pages 283-319.
5J	Ronald KING <i>et al.</i> , "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 509-531.
5K	Charles M. C. LEE, "Discussion of "Corporate Disclosure and Price Discovery Associated with NYSE Temporary Trading Halts", <u>Contemporary Accounting Research</u> , The Journal of Canadian Academic Accounting Association, Vol. 8, No. 2, Spring 1992, pages 532-539.
5L	Charles M. C. LEE, "Measuring Wealth", <u>CA Magazine</u> , April 1996, pages 32-37.
5M	Charles M. C. LEE <i>et al.</i> , "Inferring Trade Direction from Intraday Data", <u>The Journal of Finance</u> , Vol. XLVI, No. 2, June 1991, pages 733-745.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /N.S./



INFORMATION DISCLOSURE CITATION IN AN APPLICATION Form PTO-1449	Docket Number	Application Number
	23449-013	09/893,460
	Applicant(s)	
	Joseph G. GATTO	
	Filing Date	Group Art Unit
	June 29, 2001	3824

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

REF	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translations YES NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

6A	Charles M. C. LEE <i>et al.</i> , "Price Momentum and Trading Volume", <u>The Journal of Finance</u> , Vol. LV, No. 5, October 2000, pages 2017-2069.
6B	Charles M. C. LEE <i>et al.</i> , "Valuing the Dow: A Bottom-Up Approach", <u>Financial Analysis Journal</u> , Vol. 55, No. 5, September/October 1999, pages 4-23.
6C	Charles M. C. LEE, "Earnings News and Small Traders", <u>Journal of Accounting and Economics</u> , Vol. 15, No. 2/3, June/September 1992, pages 265-302.
6D	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, 'Proposed Statement of Financial Accounting Standards—Accounting for Transfers and Servicing of Financial Assets and Extinguishment of Liabilities'", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 178-181.
6E	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, 'Proposed Statement of Financial Accounting Standards—Accounting for Certain Liabilities Related to Closure or Removal of Long-Lived Assets'", <u>Accounting Horizons</u> , Vol. 10, No. 4, December 1996, pages 137-141.
6F	Terry D. WARFIELD <i>et al.</i> , "Response to the FASB Exposure Draft, 'Proposed Statement of Financial Accounting Standards—Consolidated Financial Statements: Policy and Procedures'", <u>Accounting Horizons</u> , Vol. 10, No. 3, September 1996, pages 182-185.
6G	Lawrence D. BROWN <i>et al.</i> , "Profiting from Predicting Earnings Surprise", <u>The Journal of Financial Statement Analysis</u> , Winter 1998, pages 57-66.
6H	Martin M. HERZBERG <i>et al.</i> , "Enhancing Earnings Predictability Using Individual Analyst Forecasts", <u>The Journal of Investing</u> , Summer 1999, pages 15-24.
6I	Susan D. KRISCHE <i>et al.</i> , "The Information Content of Analyst Stock Recommendations", First Draft: August 8, 2000, Current Draft: September 25, 2000, 40 pages.
6J	www.findarticles.com/m4PRN/1999_Oct_14/56284107/pl/article.html , printed February 5, 2001, 2 pages.
6K	http://my.zacks.com/?ALERT=www.zacks.com , printed February 2, 2001, 6 pages.
6L	http://www.cianet.com/ , printed February 5, 2001, 14 pages.
6M	http://www.factset.com/ , printed February 5, 2001, 10 pages.
6N	http://www.iexchange.com/ , printed February 5, 2001, 50 pages.
6O	http://www.validea.com/home/home.asp , printed February 5, 2001, 26 pages.
6P	http://www.bulldogresearch.com/default.asp , printed February 5, 2001, 28 pages.

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	

ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /N.S./

